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<b>APPROVAL SIGNATURES</b>		<b>DATE</b>
Gregory Blaney (original signature on file)	Management System Representative	01/21/2005


<b>REVISION HISTORY</b>			
Rev. No.	Description of Change	Author	Effective Date
Initial	Initial Release	Donna Ozburn	05/12/98
A	Content change in section 6.8	Donna Ozburn	07/24/98
B	Quality Records - format changes	Donna Ozburn	08/26/98
C	Reference document number corrections	Donna Ozburn	09/15/98
D	Quality Records Update	Donna Ozburn	01/28/99
E	Change to SLP due to IV&V receiving independent certification	Donna Ozburn	09/24/99
F	Due to reorg change approving titles. Add IVV Request for Purchase	Donna Ozburn	02/29/00
G	Format and Number changes; Delete Reference to Ames Research Center	Griggs	11/08/00
H	Delete References to Ames Research Center-Aligned with GPG 5100.1C and include Grants and Cooperative Agreements	Donna Ozburn	05/07/01
I	Clarify purchase request approval requirements, purchase for all goods & services	Donna Ozburn	09/24/02
J	Update to include metrics	Mike Powers	09/03/03
K	Update to change BO to RMO	Mike Powers	04/01/04
L	Add Facility Management to Section 3, Update record retention table, Add Competitive/Non Competitive	Mike Powers	01/24/05

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REFERENCE DOCUMENTS	
Document Number	Document Title
NPR 1441.1	NASA Records Retention Schedules Flowchart, ( <a href="http://nodis.hq.nasa.gov/Library/Directives/NASA-WIDE/Procedures/Organization_and_Administration/N_PG_1441_1C.html">http://nodis.hq.nasa.gov/Library/Directives/NASA-WIDE/Procedures/Organization_and_Administration/N_PG_1441_1C.html</a> )
NPR 5800	NASA Grant and Cooperative Agreement Handbook ( <a href="http://ec.msfc.nasa.gov/hq/grcover.htm">http://ec.msfc.nasa.gov/hq/grcover.htm</a> )
NPR 5600.2	NASA Guidance for Writing Statements of Work, ( <a href="http://www.hq.nasa.gov/office/procurement/newreq1.htm">http://www.hq.nasa.gov/office/procurement/newreq1.htm</a> )
	Federal Acquisition Regulations (FAR), ( <a href="http://www.arnet.gov/far">http://www.arnet.gov/far</a> )
	NASA Federal Acquisition Regulation Supplement (NFS), ( <a href="http://www.hq.nasa.gov/office/procurement/regs/nfstoc.htm">http://www.hq.nasa.gov/office/procurement/regs/nfstoc.htm</a> )
IVV 06-1	Procurement Request
IVV 08	COTR Procedure
IVV 16	Control of Quality Records

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## **1.0 Purpose**

The purpose of this System Level Procedure (SLP) is to establish a consistent and documented method for ensuring acquired products and services conform to specified requirements at the NASA IV&V Facility.

## **2.0 Scope**

This SLP applies to all purchases/acquisitions of products and services required at the NASA IV&V Facility by NASA personnel subject to the Federal Acquisition Regulation (FAR) and NASA Grant and Cooperative Agreement Handbook (NPR 5800).

## **3.0 Definitions and Acronyms**

### **3.1 Contract**


The term “contract” as used in this document refers to any purchase conducted under the FAR (see FAR 2.101(h)). This term does not include grants or cooperative agreements.

### **3.2 Contract Specialist**

Government acquisition personnel designated by job series to perform contracting actions.

### **3.3 Contracting**

Per FAR 2.101, contracting is defined as purchasing, renting, leasing, or otherwise obtaining products or services from nonfederal sources. Contracting includes description (but not determination) of products and services required, selection and solicitation of sources, preparation and award of contracts, and all phases of contract administration. It does not include grants or cooperative agreements.

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### **3.4 Contracting Officer (CO)**

A government contract specialist with the authority to enter into, administer, and/or terminate contracts and make related determinations and findings (see FAR 2.101).

### **3.5 Contracting Officer's Technical Representative (COTR)**

A qualified government employee appointed by the Contracting Officer (CO) to act as technical representative in managing the technical aspects of a particular contract. If necessary, the CO may appoint an alternate COTR to act during short absences of the COTR. Technical organizations are responsible for ensuring that the individual they recommend to the CO possesses training, qualifications, and experience commensurate with the duties and responsibilities to be delegated and the nature of the contract (see NASA Federal Acquisition Regulation Supplement (NFS) 1842.270).

### **3.6 Contractor**


Anyone providing products or services to the NASA IV&V Facility under a contract.

### **3.7 Credit Card (also known as "Bankcard" or "Government-wide commercial purchase card")**

A purchase card issued to authorize agency personnel to use for acquisition and payment for products and services (see FAR 13.101).

### **3.8 Grants or Cooperative Agreements**

Per the NASA Grant and Cooperative Agreement Handbook (NPR 5800), section 1260.12, a cooperative agreement shall be used as the legal instrument reflecting a relationship between NASA and a recipient whenever the principal purpose is the transfer of anything of value to the recipient to accomplish a public purpose of support or stimulation authorized by Federal statute. Grants are distinguished from contracts in that grants provide financial or other tangible assistance to the recipient to carry on a fairly autonomous research program. The difference between a cooperative agreement and a grant is that a cooperative agreement

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anticipates substantial involvement between NASA and the recipient during performance of the contemplated activity.

### **3.9 Initiator**

The person at the NASA IV&V Facility who prepares or is otherwise responsible for initiating a requirement.

### **3.10 IV&V Facility Management**

The governing body at the NASA IV&V Facility that reviews and approves Formal Agreements and assists in conflict resolution.

### **3.11 Market Research**

The collection and analysis of information capabilities within the market to satisfy agency needs per FAR 2.101.

### **3.12 Purchase Request**

The document initiating a procurement of products or services (see IVV 06-1).

### **3.13 Resource Management Office (RMO)**


The personnel at the NASA IV&V Facility who are responsible for financial management of the NASA IV&V Facility.

### **3.14 Statement of Work (SOW) or Specification**

Description of Agency needs (see FAR/NFS Part 11).

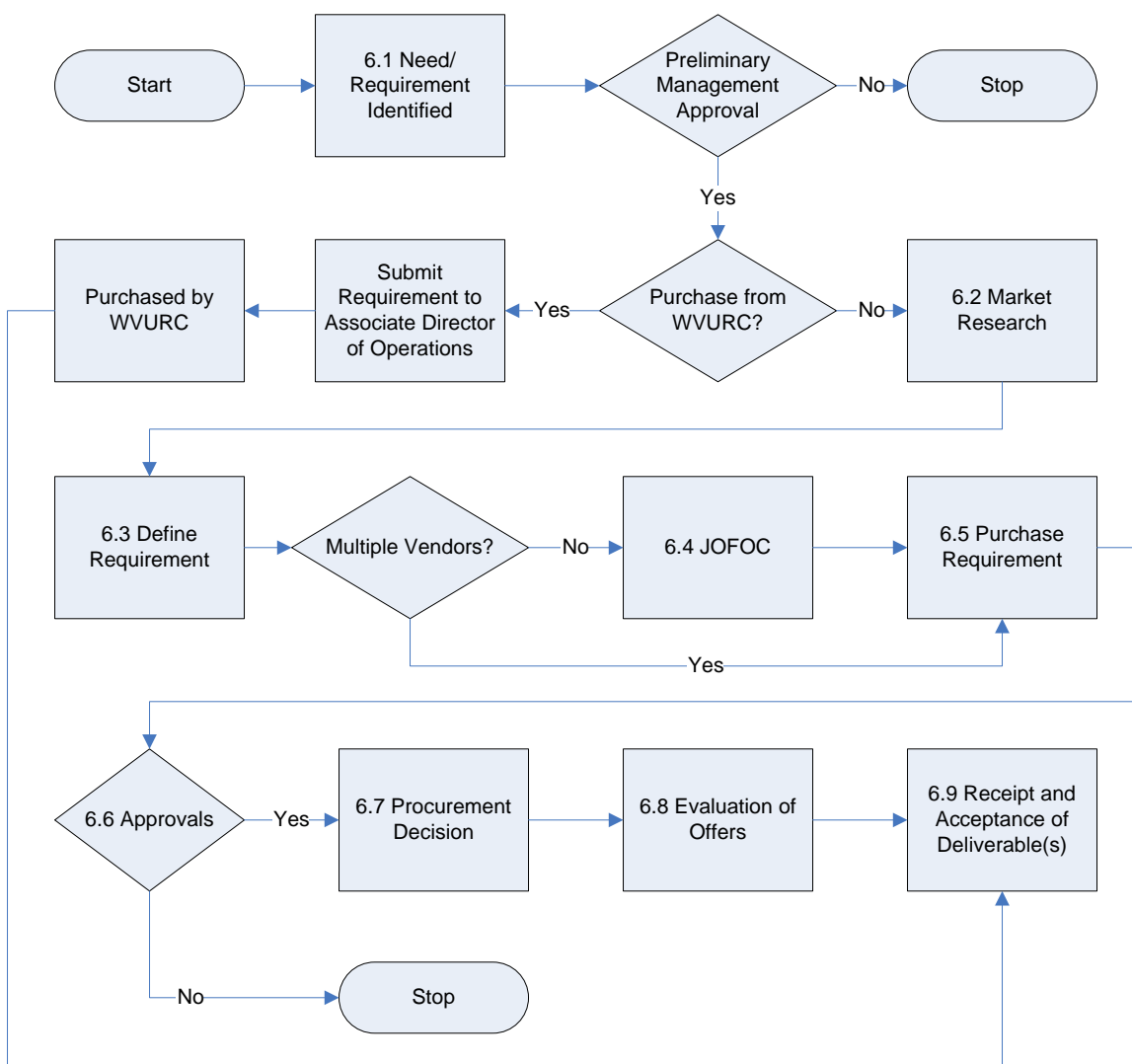
### **3.15 Acronyms**

CO	Contracting Officer
COTR	Contracting Officer's Technical Representative
FAR	Federal Acquisition Regulation
IV&V	Independent Verification and Validation
JOFOC	Justification for Other than Full and Open Competition


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NFS	NASA FAR Supplement
NPR	NASA Procedures and Requirement
PR	Purchase Request
RMO	Resource Management Office
SLP	System Level Procedure
SOW	Statement of Work
WVURC	West Virginia University Research Corporation

#### 4.0 Flow Chart



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## 5.0 Responsibilities

Responsibilities for this WI are defined in Section 3.0 Definitions and Section 6.0 Procedures of this SLP.

## 6.0 Procedure

### 6.1 Need/Requirement Identified


A need to procure products or services can be identified by anyone at the NASA IV&V Facility. A need may be initiated by an unsolicited proposal. The person identifying the need or supporting the unsolicited proposal will be referred to in this procedure as the Initiator.

The Initiator shall obtain a general approval from Facility Management to pursue the procurement of the products or services before proceeding with this process.

The West Virginia University Research Corporation (WVURC) has a contract with NASA to provide, operate, and maintain the IV&V Facility for NASA's use. Within that contract, the WVURC provides various products and services to NASA. If the Initiator's need is generally approved to be pursued by Facility Management and the product or service can be satisfied by WVURC under their contract with NASA, the Initiator will work with the Associate Director of Operations to have the product or service procured by WVURC. WVURC will procure the product or service utilizing the contractually established and approved processes. Sections 6.2 through 6.8 of this procedure shall not be applicable (the WVURC processes accommodate these steps). If the Initiator's need can not be satisfied using the WVURC contract, the Initiator shall proceed with this procedure.

### 6.2 Market Research

With the assistance of the CO, Contract Specialist, Facility Management, and RMO, the Initiator shall conduct market research to arrive at the most suitable approach to acquiring, distributing, and supporting supplies and services, per FAR Part 10 and related provisions in the NASA Federal Acquisition Regulations Supplement (NFS).

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Unsolicited proposals shall use (NPR 5800), Grant and Cooperative Agreement Handbook, for instructions.

### **6.3 Define Requirement**

The Initiator shall prepare an initial Statement of Work (SOW) (NPR 5600.2) or Specification (FAR/NFS 11) and define evaluation criteria (FAR 15.605) as required. The SOW/Specification shall describe all minimum requirements of the purchase. Such requirements shall include any specific quality assurance or inspection provisions and define the type and extent of control to be exercised by the IV&V Facility over the product or service. Evaluation criteria for service contracts shall include past performance. For grants and cooperative agreements, see the NPR 5800.1, Grant and Cooperative Agreement Handbook for instructions.

### **6.4 Justification for Other than Full and Open Competition (JOFOC)**


The Initiator shall prepare a JOFOC if there is only one known source for the products or services (Reference FAR 6.302-1).

### **6.5 Purchase Requirement**

The Initiator shall submit the documentation, as required, a SOW, specifications, JOFOC, government cost estimate, or other descriptions of the requirement to the NASA IV&V Facility's Resource Management Office (RMO). The Initiator is encouraged to seek guidance from procurement professionals in GSFC Code 210 during acquisition planning. Before submitting the purchase request package to the RMO, the Initiator shall make sure all required documentation is included. The RMO will review and must approve all documentation.

### **6.6 Approvals**

The Initiator and RMO will obtain Facility Management approval to proceed with the procurement of the product or service.

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## **6.7 Procurement Decision**

If the requirement is \$2,500 or less, the RMO may procure the product or service via the government credit card issued to the RMO. Otherwise, the RMO shall prepare and submit a Purchase Request (PR) and Request Package which includes all related documentation as required, a SOW, specifications, JOFOC, government cost estimate, or other descriptions of the requirement to the Goddard Space Flight Center.

## **6.8 Evaluation of Offers**

The COTR or Initiator shall assist the Contract Specialist in the evaluation of product or service offers (see FAR Parts 13, 14, 15). As indicated in the FAR, evaluation and selection of offers varies upon the dollar amount of the contract. Cost and technical merit are evaluated to assure that the most qualified proposal is selected.


## **6.9 Receipt and Acceptance of Deliverable(s)**

For products procured, the Initiator shall validate the product received was the product requested and notify Facility Management of acceptance or rejection.


For service contracts, the COTR or Initiator shall perform contract administration within the scope of the COTR delegation (NFS 1842.270). Contract administration shall include but not be limited to the acceptance of all deliverables and ensuring that they are on time, in the correct format, and contain valid technical content (see IVV 08).

## **6.10 Noncompetitive Procurement**

The following list outlines the minimum requirements which all IFM Purchase Requisition (PR) packages must include for Code 210.3 for prompt acquisition. Failure to include these items will only serve to delay procurement. If a third party completes these items on behalf of the organization and they are deficient, those deficiencies will still delay procurement. For samples of one or more of these items or if questions arise, call the GSFC Procurement Office at (304) 286-6843.

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1. Purchase Requisition (IFM). The PR must be completely filled in. It has over 20 items that require your input. Please use the PR Check List available on-line to insure that you provide all needed information.
2. Performance Work Statements (PWS) and performance-based and/or functional specifications. The "performance-based" modifier means you must describe your requirement in terms of what outcomes and outputs the contractor must deliver to satisfy your minimum needs. It must not include staffing parameters, such as "1 Ph.D. level scientist," etc. It should include results (outcomes and outputs) such as "1 peer-reviewed journal article," or "one article of peer-reviewed journal article quality regards quality and content," etc. The "functional" modifier means you must describe your requirement entirely in terms of what functions it must perform to satisfy your minimum needs. It must not include design parameters, such as "spherical diameter of 3.67 centimeters," etc. You can find additional information on preparing work statements by reviewing NPR 5600.2B, Statement of Work (SOW): Guidance for Writing Work Statements at <http://nodis3.gsfc.nasa.gov/>.
3. Market Research. The Federal Acquisition Streamlining Act of 1994 requires federal agencies to conduct market research to help define the agency's requirements by determining whether sources of commercial items or services are available to satisfy them. Technical input is required to help us complete the market research report.
4. In-house cost estimate (IHE). See your co-located Resource Analyst about the minimum requirements here.
5. Funding profile. This applies if you do not have all the money now to cover your IHE, which is described above under Item 4.
6. Source (company). Provide the complete name and address of the company that you believe is the only one that can satisfy your requirement. Include a name of a person at that company with whom you have had contact about your requirement. This will permit us to address the ultimate request for proposal (RFP) to an actual person and prevent it from sitting in the company's mailroom for several days.

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7. Initiators Acquisition Checklist. This is a separate form that you complete and attach to the PR (GSFC 23-59) discussed above under Item 1. You must complete it so that Code 210.3, Code 230 and Code 250 can determine what safety and export regulations must apply to your procurement. You may access an electronic Word document of this form under GSFC Forms at <http://gsfc-artemis.gsfc.nasa.gov/210/procform.htm>.

8. Security requirements. You must indicate whether your procurement will require the contractor to provide or have access to classified information, etc.

9. Government property. You must identify what Government property, if any, you want to provide to the contractor during actual contract performance (i.e., after the contract has been awarded). It will usually be Government-furnished property if provided to contractors not performing on the GSFC and be Installation-provided Government property if provided to contractors performing on the GSFC. If you are proposing to trade in equipment in exchange for the new supply or service, remember to complete a Transfer/Shipping Request, GSFC 20-4, which you can access by using the on-line PR Check List.


*Note: Government property may include property that you are expecting the contractor to purchase during contract performance. Note also that it is Government policy NOT to provide Government property. If you believe Government property must be provided, please coordinate your intent very early in this acquisition planning process, since providing such Government property will require the review and approval of senior GSFC and NASA HQ management.*

10. Justification for Other Than Full and Open Competition (JOFOC). You generate this document to justify why the company you want is the only company in the world that satisfies your minimum requirements. Your JOFOC must demonstrate this fact, not just state it. There are other justifications for "other than full and open competition," but most do not apply to NASA procurement. You can access further guidance and a template for a JOFOC at: <http://gsfc-artemis.gsfc.nasa.gov/210/flashes/PC97-4.htm>. You can access guidance about such justifications for simplified acquisitions (not more

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than \$100,000) on-line at  
<http://genesis.gsfc.nasa.gov/210/con210m.htm>.

11. Contract type information. This will apply to procurements for hardware items and some services. Code 210.3 will determine the type of contract most appropriate to satisfy your procurement without placing an inordinate cost risk burden on the contractor. To satisfy this item, you must describe the amount of customization and uncertainty involved in producing your hardware item or the uncertainty in the type and magnitude of services involved in providing the services you will require.
12. Electronic Information Technology (EIT) Compliance Certification. EIT compliance is used when your requirement includes EIT and addresses the accessibility of that EIT to persons with disabilities. This compliance certification is included on a single form (NF 1707) that must be completed for all PRs. You can access this form (preferred over the IFM version) under 210 Procurement Forms at <http://gsfc-artemis.gsfc.nasa.gov/210/procform.htm>.
13. Risk Management Planning. NPR 8000.4 covers risk management for contracts not covered by NPR 7120.5. Risk management is an organized method of identifying and measuring risk and developing, selecting, and managing options for handling these risks. The first step in risk management is to identify and assess all potential risk areas. Several types of risk include: schedule risk; cost risk; technical feasibility; risk of technical obsolescence; dependencies between a new project and other projects or systems (e.g., closed architectures); and risk of creating a monopoly for future procurement. Once risks are identified, each risk should be characterized as to the likelihood of its occurrence and the severity of potential consequences. After a risk has been assessed and analyzed, the agency should consider what to do about it. You will be asked to provide this risk assessment early in the acquisition work on your requirement. You can access NPR 8000.4 at:  
[http://nodis3.gsfc.nasa.gov/displayDir.cfm?Internal\\_ID=N\\_PR\\_8000\\_0004\\_&page\\_name=main](http://nodis3.gsfc.nasa.gov/displayDir.cfm?Internal_ID=N_PR_8000_0004_&page_name=main)). You can access NPR 7120.5 at:  
[http://nodis3.gsfc.nasa.gov/displayDir.cfm?Internal\\_ID=N\\_PR\\_7120\\_005B\\_&page\\_name=main](http://nodis3.gsfc.nasa.gov/displayDir.cfm?Internal_ID=N_PR_7120_005B_&page_name=main)).


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*Note: Original documentation can be found at (<http://genesis.gsfc.nasa.gov/210/con210m.htm>).*

## 6.11 Competitive Procurement


The following list outlines the minimum requirements which all IFM Purchase Requisition (PR) packages must include for Code 210.3 for prompt acquisition. Failure to include these items will only serve to delay procurement. If a third party completes these items on behalf of the organization and they are deficient, those deficiencies will still delay procurement. For samples of one or more of these items or if questions arise, call the GSFC Procurement Office at (304) 286-6843.

1. Purchase Requisition (IFM). The PR must be completely filled in. It has over 20 blocks that require your input. Please use the PR Check List available on-line to insure that you provide all needed information.
2. Performance Work Statements (PWS) and performance-based and/or functional specifications. The "performance-based" modifier means you must describe your requirement in terms of what outcomes and outputs the contractor must deliver to satisfy your minimum needs. It must not include staffing parameters, such as "1 Ph.D. level scientist," etc. It should include results (outcomes and outputs) such as "1 peer-reviewed journal article," or "one article of peer-reviewed journal article quality regards quality and content," etc. The "functional" modifier means you must describe your requirement entirely in terms of what functions it must perform to satisfy your minimum needs. It must not include design parameters, such as "spherical diameter of 3.67 centimeters," etc. You can find additional information on preparing work statements by reviewing NPR 5600.2B, Statement of Work (SOW): Guidance for Writing Work Statements at <http://nodis3.gsfc.nasa.gov/>.
3. Market Research. The Federal Acquisition Streamlining Act of 1994 requires federal agencies to conduct market research to help define the agency's requirements by determining whether sources of commercial items or services are available to satisfy them. Technical input is required to help us complete the market research report.

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4. In-house cost estimate (IHE). See your co-located Resource Analyst about the minimum requirements here.
5. Funding profile. This applies if you do not have all the money now to cover your IHE, which is described above under Item 4.
6. Source list. The companies that you believe can satisfy your requirement. You must list at least 3 companies. This list must include a brief discussion on each listed company explaining why you believe each can satisfy your requirement (e.g., "I called Mr. X of Company Y who indicated his company was interested in bidding;" or "I know that Company Y can probably provide this instrument because they have done so in the past."
7. Initiators Acquisition Checklist. This is a separate form that you complete and attach to the PR (GSFC 23-59) discussed above under Item 1. You must complete it so that Code 210.3, Code 230, and Code 250 can determine what safety and export regulations must apply to your procurement. You may access an electronic Word document of this form under GSFC Forms at <http://gsfc-artemis.gsfc.nasa.gov/210/procform.htm>.
8. Security requirements. You must indicate whether your procurement will require the contractor to provide or have access to classified information, etc.
9. Government property. You must identify what Government property, if any, you want to provide to the contractor during actual contract performance (i.e., after the contract has been awarded). It will usually be Government-furnished property if provided to contractors not performing on the GSFC and be Installation-provided Government property if provided to contractors performing on the GSFC. If you are proposing to trade in equipment in exchange for the new supply or service, remember to complete a Transfer/Shipping Request, GSFC 20-4, which you can access by using the on-line PR Check List.

*Note: Government property may include property that you are expecting the contractor to purchase during contract performance.*

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*Note also that it is Government policy NOT to provide Government property. If you believe Government property must be provided, please coordinate your intent very early in this acquisition planning process, since providing such Government property will require the review and approval of senior GSFC and NASA HQ management.*


10. Evaluation criteria. This is narrative that describes how you would prefer to evaluate the competitive proposals once they have been submitted. It must have two parts. The first part will describe the information which the proposers must submit with their proposals and that you will need to perform and complete your evaluation. The second part will describe how you will evaluate the information that the proposers have submitted. This must be done correctly and completely, so please call the GSFC Procurement Office at (304) 286-6843 before proceeding too far with this item.
11. Contract type information. This will apply to procurements for hardware items and some services. Code 210.3 will determine the type of contract most appropriate to satisfy your procurement without placing an inordinate cost risk burden on the contractor. To satisfy this item, you must describe the amount of customization and uncertainty involved in producing your hardware item or the uncertainty in the type and magnitude of services involved in providing the services you will require.
12. Procurement Library Information. You should consider submitting information that might help companies learn about the work your competitive procurement encompasses. Given the tighter physical security at the Center, the most helpful and accessible information would be formatted to access via the Internet. This information will usually include progress reports, task orders, technical reports, and other deliverable items from the current contract and contractor. Please coordinate the submission of this information with your assigned Contract Specialist.
13. Electronic Information Technology (EIT) Compliance Certification. EIT compliance is used when your requirement includes EIT and addresses the accessibility of that EIT to persons with disabilities. This form (NF 1707) must be completed for all PRs. You can access this

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form (preferred over the IFM version) under 210 Procurement Forms at <http://gsfc-artemis.gsfc.nasa.gov/210/procform.htm>.

14. Risk Management Planning. NPR 8000.4 covers risk management for contracts not covered by NPR 7120.5. Risk management is an organized method of identifying and measuring risk and developing, selecting, and managing options for handling these risks. The first step in risk management is to identify and assess all potential risk areas. Several types of risk include: schedule risk; cost risk; technical feasibility; risk of technical obsolescence; dependencies between a new project and other projects or systems (e.g., closed architectures); and risk of creating a monopoly for future procurement. Once risks are identified, each risk should be characterized as to the likelihood of its occurrence and the severity of potential consequences. After a risk has been assessed and analyzed, the agency should consider what to do about it. You can access NPR 8000.4 at: [http://nodis3.gsfc.nasa.gov/displayDir.cfm?Internal\\_ID=N\\_PR\\_8000\\_0004\\_&page\\_name=main](http://nodis3.gsfc.nasa.gov/displayDir.cfm?Internal_ID=N_PR_8000_0004_&page_name=main). You can access NPR 7120.5 at: [http://nodis3.gsfc.nasa.gov/displayDir.cfm?Internal\\_ID=N\\_PR\\_7120\\_005B\\_&page\\_name=main](http://nodis3.gsfc.nasa.gov/displayDir.cfm?Internal_ID=N_PR_7120_005B_&page_name=main).

*Note: Original documentation can be found at (<http://genesis.gsfc.nasa.gov/210/con210m.htm>).*

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## 7.0 Metrics

- The average time it takes to PR services and/or products.
- The average time it takes to obligate contracts.
- Facility Management, the RMO, and the COTRs will discuss acceptance issues at staff meetings and at the Quarterly Management Reviews as a way to monitor and evaluate this process and direct action to continually improve if applicable. Actions will be tracked in the Facility action tracking systems.

## 8.0 Records

The following records will be generated and managed in accordance with IVV 16 and reference to NPR 1441.1 NASA Records Retention Schedules.

Document Name and Identification Number	User Responsible for Record Retention	Retention Requirement	Location
Request Package	Initiator	NPR 1441.1	GSFC Procurement Office
Procurement Request (In-house)	Program Analyst	NPR 1441.1	Folder in RMO Office
Procurement Request (In-SAP)	Agency Financial System (SAP)	NPR 1441.1	Agency (SAP)